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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

FRANCH, et al.

Serial No.: 10/549,619

Filed: February 28, 2006

Decket No.: EPANCH-4

For: LIGATIONAL ENCODING OF) Docket No.: FRANCH=4A SMALL MOLECULES)

Confirmation No.: 8187

INFORMATION DISCLOSURE STATEMENT [IDS]

U.S. Patent and Trademark Office Customer Service Window Randolph Building 401 Dulany Street Alexandria, VA 22314

sir:

This Information Disclosure Statement is submitted in accordance with 37 C.F.R. 1.97, 1.98, and it is requested that the information set forth in this statement and in the listed documents be considered during the pendency of the above-identified application, and any other application relying on the filing date of the above-identified application or cross-referencing it as a related application.

- 1. This IDS should be considered, in accordance with 37 C.F.R. 1.97, as it is filed:
- [] A. within three months of the filing date of the above-identified national application or within three months of the entry into the national stage of the above-identified international application. See 37 CFR 1.97(b)(1) and (3).
- [X] B. before the mailing date of a first office action on the merits. See 37 CFR 1.97(b).
- [] C. after (A) and (B) above, but before final rejection or allowance, and Applicants have made the necessary certification (box "i" below) or paid the necessary fee (box "ii" below). See 37 CFR 1.97(c)(2).
 - [] i. Counsel certifies that, upon information and

belief, each item of information listed herein was either (a) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS or (b) was not cited in a communication from a foreign patent office in a counterpart foreign application and was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.

- [] ii. Credit Card Payment Form, PTO-2038, authorizing payment for the fee set forth in 1.17(p), presently believed to be \$180, is attached.
- [] D. after (A), (B) and (C) above, but before payment of the issue fee. Applicant petitions under 37 C.F.R. 1.97(d) for consideration of this IDS. A Credit Card Payment Form, PTO-2038, authorizing payment for the fee set forth in 1.17(p)(1), presently believed to be \$180 is attached. Counsel certifies that, upon information and belief, each item of information listed herein was either (i) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS or (ii) was not cited in a communication from a foreign patent office in a counterpart foreign application and was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS.
- [] E. As a submission in accordance with the transitional procedure for limited examination after final rejection pursuant to 37 CFR §1.129(a). Pursuant to MPEP §706.07(g), page 700-66, col. 2 (August 2001), this IDS is treated as if filed with a period set forth in 37 CFR §1.97(b) and considered without the petition and petition fee required by 1.97(d).
- [] F. As a submission with or after a request for continued examination under CFR §1.114, and before the mailing of a first office action on the RCE. See 37 CFR §1.97(b)(4).
 - 2. In accordance with 37 C.F.R. 1.98, this IDS includes a

list (e.g., form PTO-1449) of all patents, publications, or other information submitted for consideration by the office, either incorporated into this IDS or as an attachment hereto. A copy of each document is attached, except as explained below.

- [] While an IDS filed under §1.97 must contain a "list of all patents, publications or other information submitted for consideration by the Office", see §1.98(a) (1), the only requirement for the list is that it provide the information set forth in §1.98(b). There is no requirement that a form PTO-1449 be used (MPEP §609 merely says that use of this form is "encouraged"). Counsel has used a list provided to him by Applicants, and not transferred the information to a PTO-1449, to avoid the risk of any inadvertent error in transferring the information.
- [X] A. Documents <u>AA-BJ</u> are U.S. Patents or U.S. Patent Publications, and hence copies of these documents have not been provided. See 37 CFR 1.98(a)(2)(ii).
- [] B. Documents _____ are deemed substantially cumulative to documents _____, and, in accordance with 1.98(c), only a copy of each of the latter documents is enclosed.
- [] C. Certain documents were previously cited by or submitted to the Office in the following prior application(s), which are relied upon under 35 U.S.C. 120:

[insert serial number/filing date]

Applicants identify these documents by attaching hereto copies of the form PTO-892s and PTO-1449s from the files of the prior

of the form PTO-892s and PTO-1449s from the files of the prior applications or a fresh PTO-1449 listing these documents, and request that they be considered and made of record in accordance with 1.98(d). Per 37 CFR 1.98(d), copies of these documents need not be filed in this application. If copies of any of these documents cannot be found in the files of the prior applications, the Examiner is requested to so notify counsel <u>before</u> taking action in this case, so replacement copies can be submitted. While an IDS filed under §1.97 must contain a "list of all patents, publications or other information submitted for

consideration by the Office", see §1.98(a) (1), the only requirement for the list is that it provide the information set forth in §1.98(b). There is no requirement that a form PTO-1449 be used (MPEP §609 merely says that use of this form is "encouraged") and no prohibition on submitting a copy of a form PTO-1449 or form PTO-892 from a prior case. Indeed, the re-use of such forms is desirable as it avoids error in transferring the information, and evidences that the reference was considered in a prior application. A previously accepted PTO-1449, or an examiner-prepared PTO-892, necessarily complies with §1.98(b).

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information, and evidences that the reference was considered in
a prior application. A previously accepted PTO-1449, or an
examiner-prepared PTO-892, necessarily complies with §1.98(b).
[] 3. Documents are not in the English language.
In accordance with 1.98(a)(3), Applicants state:
[] documents already contain an English
language abstract, summary or claim set.
[] a publicly available abstract is attached to each of
documents, and the source of each abstract is
indicated thereon.
[] documents are publicly available English
language abstracts of foreign language patents. If the
Examiner would like us to obtain a copy of the
underlying document, with or without a translation,
s/he should contact Counsel.
[] documents are patents or published patent
applications for which counterpart English language
patents or patent applications exist, and are enclosed,
as follows:
Foreign Lang. Doc.# English Lang. Doc.#
[insert] [insert]
[] applicants have prepared an English translation of at
least the pertinent portions of documents,
and copies are attached.
[] A concise explanation of the relevance of documents
is found in the attached search report from
the Patent Office (see reply to Comment 68 in
the preamble to the final rules; 1135 OG 13 at 20).

- [] A concise explanation of the relevance of documents _ appears in the present specification.
- [] A concise explanation of the relevance of documents _____ is set forth as follows:

[Insert concise explanation of relevance]

- 4. No explanation of relevance is necessary for documents in the English language (see reply to Comments 67 and 68 in the preamble to the final rules; 1135 OG 13 at 20).
- 5. If the month of publication of a nonpatent reference is not stated, it is because it is not apparent from review of the reference. If requested to do so by the Examiner, Applicants will attempt to locate and write to the publisher.

If the publication date of a cited document is set forth only as a publication year, and that year is prior to the year of filing or, if priority is claimed, year of priority of this application, then the particular month of publication is not in issue. Likewise if that publication year is after the year of filing of this application, the month of publication is not in issue.

If the date of publication of a nonpatent reference is stated, then, except as explained below, it is the nominal date stated in the reference, or in a larger document (journal or book) from which the reference was extracted. Applicants reserve the right to challenge this date by contacting the publisher to determine the actual shipment date, or by contacting recipients to determine the receipt dates.

6. Other information being provided for the examiner's consideration follows:

[insert other information]

7. In accordance with 37 C.F.R. 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of

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publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

8. The Commissioner is hereby authorized and requested to charge any additional fees which may be required in connection with this paper or credit any overpayment to Deposit Account No. 02-4035.

Respectfully submitted,

BROWDY AND NEIMARK, P.L.L.C.

Attorneys for Applicant

y:_____

Reg. No. 28,005

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SUBSTITUTE FOR FORM IPC/SB/08

INFORMATION DISCLOSURE STATEMENT LIST OF DOCUMENTS CITED BY APPLICANT

ATTY DOCKET NO: FRANCH=4A

SERIAL NO: 10/549,619

FIRST INVENTOR: FRANCH, Thomas

FILING DATE: February 28, 2006 ART UNIT: 1623

XAMINER NITIAL		DOC	UMEN	IT NUI	MBER				DATE Aug 6, 2002	PATENTEE	FILING DATE IF APPROP.
/HC/	AA	6	4	2	9	3	0	0		Kurz, M et al.	
	AB	6	2	0	7	4	4	6	Mar 27, 2001	Szostak, J et al.	
	AC	6	1	4	3	5	0	3	Nov 7, 2000	Baskerville, DS et al.	
	AD	6	6	2	0	5	8	7	Sept 16, 2002	Taussig, MJ et al.	May 28, 1998
	AE	20	03	00	04	-1	2	2	Jan 2, 2003	Beigelman et al.	April 4, 2001
	AF	6	5	9	3	0	8	8	Jul 15, 2003	Saito, I et al.	Aug 24, 2000
	AG	5	5	7	1	9	ō	3	Nov 5, 1991	Gryaznov,SM et al.	
	AH	5	4	7	6	9	3	ō	Dec 19, 1995	Letsinger, RL et al.	
	Al	5	6	8	1	9	4	3	Oct 28, 1997	Letsinger, RL et al.	
	AJ	5	7	8	0	6	1	3	Jul 14, 1998	Letsinger, RL et al.	
	AK	5	7	4	1	6	4	3	Apr 21, 1998	Gryaznov, SM et al.	
	AL	5	8	3	0	6	5	8	Nov 3, 1998	Gryaznov, SM et al.	
	AM	5	8	4	3	6	5	0	Dec 1, 1998	Segev, D	
	AN	5	5	0	3	8	0	5	Apr 2, 1993	Sugarman et al.	
	AO	5	6	3	9	6	0	3	Jun 17, 1997	Dower et al.	
	AP	5	6	6	5	9	7	5	Sep 9, 1997	Kedar et al.	
	AQ	5	7	0	8	1	5	3	Jan 13, 1998	Dower et al.	
	AR	5	7	7	0	3	5	8	Jun 23, 1998	Dower et al.	
	AS	5	7	8	9	1	6	2	Aug 4, 1998	Dower et al.	1.1.22.4000
	AT	6	0	5	6	9	2	6	May 2, 2000	Sugarman et al.	July 23, 1996
	AU	6	1	4	0	4	9	7	Oct 31, 2000 Nov 2, 2000	Dower et al.	Sept 11, 1998 Mar 6, 1998
	AW	6	1	6	5	7	1	7	Dec 26, 2000	Dower et al.	May 13, 1998
	AX	6	1	6	5	7	 	8	Dec 26, 2000	Dower et al. Kedar et al.	Jul 2, 1998
	AY	6	4	1	6	9	4	9	July 9, 2002	Dower et al.	Feb 24, 1999
	AZ	5	5	7	3	9	0	5	Nov. 12, 1996	Lerner, RL et al.	1 60 24, 1933
	BA	5	7	2	3	5	9	8	Mar 3, 1998	Lerner, RL et al.	
	BB	6	0	6	0	5	9	6	May 9, 2000	Lerner, R et al.	Mar 3, 1998
	BC	4	8	2	2	7	3	1	April 18, 1989	Watson et al.	
	BD	6	2	9	7	0	5	3	October 2, 2001	Stemmer	
20000000	BE	20	05	00	25	7	6	6	February 2, 2005	Liu et al.	
0000000	BF	20	05	00	42	6	6	9	February 24, 2005	Liu et al.	
000000000000000000000000000000000000000	BG	20	05	00	42	6	6	9	Published 24 February 2005	Liu, David R	
	ВН	20	05	00	25	7	6	6	Published 3 February 2005	Liu, David R	
§	BI	20	05	14	2	5	8	3	30 June 2005	Liu, David R	
THC:/	BJ	20	05	17	_	3	7	1 6	4 Aug 2005	Liu David R	

HC/ BJ 20 05 17 0 3 7 6 4 Aug 2005 Liu, David R

EXAMINER /Heather Calamita/ | DATE CONSIDERED 12/16/2008

EXAMINER: initial if reference considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SUBSTITUTE FOR FORM IPC/SB/08 SERIAL NO: 10/549,619 ATTY DOCKET NO: FRANCH=4A INFORMATION DISCLOSURE STATEMENT FIRST INVENTOR: FRANCH, Thomas LIST OF DOCUMENTS CITED BY APPLICANT **ART UNIT: 1623** FILING DATE: February 28, 2006 FOREIGN PATENT DOCUMENTS (include at least document number, publication date and country) DATE CLASS SUB-TRANSLATION **DOCUMENT NUMBER** COUNTRY **CLASS** YES/NO PCT BK 18 Feb 1993 /HC/ PCT BL 23 July 1998 ВМ ᢐ $\overline{\alpha}$ 8 June 2000 PCT PCT 17 Aug 2000 BN 31 May 1990 PCT BO ΒP 19 July 1989 EP 14 Nov 1996 PCT BQ BR 27 October EP 19 October BS PCT BT 1 April 1993 EP BU ō 11 May 1995 PCT BV 14 May 1997 EP EP BW 4 October ΕP 14 Oct. 1993 BX BY 27 April 2000 PCT ΒZ O 26 Sept 2002 PCT 26 Feb 2004 PCT CA СВ O 17 Dec. 1998 PCT 4 Jan. 2001 PCT CC CD 25 April 1996 PCT ō PCT O 27 Dec 2002 TM 27 Dec 2002 PCT TМ 25 Sept 2003 PCT ТМ ТМ 12 Feb 2004 PCT 23 12 2004 PCT TM 25 March PCT ТМ TM 8 July 2004 PCT TM 29 Jan 2004 PCT 25 Sept. PCT TM TM 25 Sept 2003 PCT ТМ 31 Dec 2003 PCT იი PCT 25 Sept 2003 TM TM 25 Sept 2003 PCT TM 25 Sept 2003 PCT 2 Sept 2004 PCT TΜ /HC/ DATE CONSIDERED 12/16/2008 /Heather Calamita/ EXAMINER **EXAMINER:** initial if reference considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

SUBSTITUTE FOR FORM IPC/SB/08									ATTY DOCKET NO: FRANCH=4A		SERIAL NO: 10/549,619		
INFORMATION DISCLOSURE STATEMENT									ATTY DOOKET	THO. FRANCH-4A		SERIAL 140.	10/3-3,019
LIST OF DOCUMENTS CITED BY APPLICANT									FIRST INVENTOR: FRANCH, Thomas				
									FILING DATE: February 28, 2006 ART UNIT: 1623			1623	
FOREIGN PATENT DOCUMENTS (include at least document number, publication date and country)													
/ḤC/	TM 19	20	04	07	4	4	2	9	2 Sept 2004	PCT			
00000	TM 20	20	04	08	3	4	2	7	30 Sept 2004	PCT		- , ,	
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	TM 22	20	05	00	3	7	7	8	13 Jan 2005	PCT			
	TM 23	20	04	03	9	8	2	5	13 May 2004	PCT			
	TM 24	20	05	02	6	3	8	7	24 March 2005	PCT			
	CE	20	04	09	9	4	4	1	18 Nov 2004	PCT			
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	СК	9	9	5	1	7	7	3	Oct 14 1999	PCT			
	CL	20	06	04	8	0	2	5	11 May 2006	PCT	<u> </u>		
10/	GS	20	06	05	3	5	7	1	26 May 2006	PCT			
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/HC/	CM								mRNA bearing pur t. 1997 Sep 8;414	omycin at the 3'-tern (2):405-8.	ninal end to th	e C-terminal er	nd of its encoded
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	co									on of nucleic acid-en ce on Synthetic Orga			oraries for in vitro
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300000	cs									etic code". Annu. Re	ev. Biophys. B	iomol. Struc. 19	995. 24:463-93
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	EXAMINER /Heather Calamita/ DATE CONSIDERED 12/16/2008 EXAMINER: Initial if reference considered. Draw line through citation if not in conformance and not considered. Include copy of this form												
with next communication to applicant.													

SUBS	STITU	JTE FOI	R FORM IPC/SB/08	ATTY DO	OCKET NO: FRANCH=4A	SERIAL NO: 10/549,619						
			ISCLOSURE STATEMENT ENTS CITED BY APPLICANT	FIRST INVENTOR: FRANCH, Thomas								
				FILING E	DATE: February 28, 2006	ART UNIT: 1623						
отн	ER D	OCUME	ENTS (include author, title, name of publication	, volume, į	pages and date of publication)							
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		DG	"Template directed photochemical synthesis of I	branched o	ligodeoxynucleotides via 5-carboxyvinyl							
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		DI	Gryaznov SM, Letsinger RL. "Template controlle groups". Nucleic Acids Res. 1993 Mar 25;21(6):	:1403-8								
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EX	AMI	NER	/Heather Calamita/		DATE CONSIDERED 12/10	3/2008						
		NER: In	itial if reference considered. Draw line through cit	ation if not	in conformance and not considered. In	clude copy of this form						

SUBS	STIT	UTE FO	R FORM IPC/SB/08	ATTY DOCKET NO: FRANCH=4A	SERIAL NO: 10/549,619							
INFO	OF I	ATION D	ISCLOSURE STATEMENT ENTS CITED BY APPLICANT	FIRST INVENTOR: FRANCH, Thomas								
				FILING DATE: February 28, 2006	ART UNIT: 1623							
ОТН	ER [OCUMI	ENTS (include author, title, name of publication	, volume, pages and date of publication)	n 5391 3 June 1992							
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